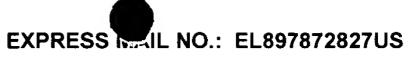
Approved for use through 10/31/2002. OMB 0651-0032. U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE. Under the Paperwork Redución Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## **DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

| Title of Invention                              | COMPOSITIONS AND METHODS DIAGNOSIS OF LUNG CANCER  | FOR THE                       | THERAPY AND   |
|---|--|-------------------------------|---|
| As the below named in                           | ventor(s), I/we declare that:  | <del>.</del>                  |   |
| This declaration is dire                        |  |                               |   |
|   | ned application, or  |                               |   |
| ][  | n No. <u>09/902,941,</u> filed on <u>July 10, 2001,</u>  |                               |   |
|   | ended on (if applicable);  |                               |   |
| <del></del>                                     | am/are the original and first inventor(s) of   | of the subject                | matter which is claimed and for                               |
|   | d understand the contents of the above-<br>idment specifically referred to above;  | identified app                | lication, including the claims, as                            |
| known to me/us to be which became available     | duty to disclose to the United States material to patentability as defined in le between the filing date of the prior appuation-in-part application, if applicable; a          | 37 CFR 1.56<br>lication and t | 6, including material information                             |
| and belief are believe willful false statements | nerein of my/our own knowledge are true of to be true, and further that these state of and the like are punishable by fine or in the validity of the application or any patent | ements were<br>mprisonment,   | e made with the knowledge that or both, under 18 U.S.C. 1001, |
| FULL NAME OF INVE                               | NTOR(S)  |                               |   |
| Inventor one: Rob                               | ert A. Henderson   | Citizen of:                   | US  |
| Signature:                                      | Hylhh  | Date:                         | 11-21-2001  |
| Inventor two: Ton                               | gtong Wang   | Citizen of:                   | US  |
| Signature:                                      | mery_  | Date:                         | 11/2//2001  |
| Inventor three: Yos                             | hihiro Watanabe  | Citizen of:                   | Japan   |
| Signature:                                      | ochha Warambe  | Date:                         | 11/30/2001  |
| Inventor four: Jeffi                            | rey C. Johnson   | Citizen of:                   | US  |
| Signature:                                      | hy C. Jel  | Date:                         | 11/30/2001  |
| X Additional inventor                           | s are being named on <u>one</u> additional form(s) a   | attached hereto               | <i>)</i> _  |

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. 210121.478C17 JOHNO\231836





# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

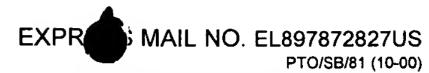
#### ADDITIONAL INVENTOR(S) **Supplemental Sheet**

Page <u>2</u> of <u>2</u>

| FULL NAME OF INVENTOR(S) |   |               |          |
|--------------------------|---|---------------|----------|
| Inventor five            | Marc W. Retter                                | Citizen of:   | US       |
| Signature:               | Marc W. Retter                                | Date:         | 11/20/01 |
| Inventor six             | Margarita Durham                              | Citizen of:   | US       |
| Signature:               | Margante Durhan                               | Date:         | 11/27/01 |
| Inventor seven           | Darrick Carter                                | Citizen of:   | US       |
| Signature:               | - Am Julian                                   | Date:         | 11/26/01 |
| Inventor eight           | Gary R. Fanger                                | Citizen of:   | US       |
| Signature:               | - Sel-  | Date:         | 11/21/01 |
| Inventor nine            | Thomas S. Vedvick                             | Citizen of:   | US       |
| Signature:               | 1 romes & Certel                              | Date:         | 4/21/01  |
| Inventor ten             | Chaitanya S. Bangur                           | Citizen of:   | India    |
| Signature:               | Bastangergux.                                 | Date:         | 11/21/01 |
| Inventor eleven          | Andria McNabb                                 | Citizen of:   | US       |
| Signature:               | andria M'Nalo                                 | Date:         | 11/30/01 |
| Additional inv           | rentors are being named on additional form(s) | attached here | to.      |
|                          |   |               |          |

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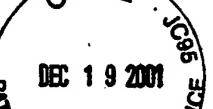
Under the Paperwork Reduction Act of 1995, no persons a U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

|     | ECTION AND POWER OF ATTORNEY OR |
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| att | ATTORNEY OR                     |
| AU' | THORIZATION OF AGENT            |

| are required to respond to a collection of | information unless it displays a valid OMB control number |
|--|---|
| Application Number                         | 09/902,941  |
| Filing Date                                | July 10, 2001   |
| First Named Inventor                       | Robert A. Henderson                                       |
| Group Art Unit                             | 1636  |
| Examiner Name                              |   |
| Attorney Docket Number                     | 210121.478C17   |

| I hereby and Practition OR  | ners at Cus               | stomer Number<br>ed below:                             |   |                       | 00500 PATENT TRADEMARK OFFICE                     |
|-----------------------------|---------------------------|--|---|-----------------------|---|
| as mylour at                | tornev(s)                 | Nan  |   |                       | to transact all business in the Patent and        |
| Please char                 | Office conr<br>ge the cor | nected therewith.                                      | dress for the above-identi  |                       |   |
| OR    Firm or Individua     |                           |  |   |                       |   |
| Address                     |                           |  |   |                       |   |
| Address                     | •                         |  |   |                       |   |
| City                        |                           |  | S   | tate                  | ZIP   |
| Country                     |                           |  | ······································                                      |                       |   |
| Telephone                   |                           |  |   | Fax                   |   |
| X Assigner Statem X As assi | ent under                 | d of the entire into 37 CFR 3.73(b) cord of the entire | terest. See 37 CFR 3.71. is enclosed. (Form PTO/e interest hereby elect, un | SB/96).               | 1, to prosecute the application to the            |
|                             |                           | s  | IGNATURE of Applicant   | t or Assignee of R    | ecord   |
| Name                        | Kathleer                  | Nora McKeregh  | nan N   |                       |   |
| Signature                   | GOL                       | la Mai   | my  | •                     |   |
| Date                        |                           | Dec 200  | <u> </u>  |                       | <del></del>                                       |
|                             | ple forms                 |  | e signature is required, :  |                       | st or their representative(s) are required.       |
|                             |                           |  | <u></u>   | oto. Timo will you do | pending upon the needs of the individual case. An |

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/96 (08-00)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE united to respond to a collection of information unless it displays a valid OMB control number.

|  | STATEMENT UNDER 37 CFR 3.73(b)   |
|--|--|
|  | Robert A. Henderson et al.   |
| Application No./Patent No.:_                         |  |
|  | S AND METHODS FOR THE THERAPY AND DIAGNOSIS OF   |
| LUNG CANCER  |  |
|  |  |
| Carina   | Corporation  |
| (Name of Assigned                                    |  |
| states that it is:                                   | university, government agency, etc.)   |
| 1. X the assignee of the ent                         | ire right, title, and interest; or   |
| 2. an assignee of an undi                            | vided part interest  |
|  | nt identified above by virtue of either:   |
|  | e inventor(s) of the patent application/patent identified above.   |
| The assignment was re                                | ecorded in the United States Patent and Trademark Office at  |
| OR Reel, Frame                                       | , or for which a copy thereof is attached.   |
| B. A chain of title from the current assignee as she | e inventor(s), of the patent application/patent identified above, to the own below:  |
| 1. From:   | To:  |
|  | ecorded in the United States Patent and Trademark Office at, or for which a copy thereof is attached   |
| 1. From:   | To:  |
| -  | ecorded in the United States Patent and Trademark Office at, or for which a copy thereof is attached   |
| 1. From:   | To:  |
|  | ecorded in the United States Patent and Trademark Office at, or for which a copy thereof is attached.  |
| Additional documents                                 | s in the chain of title are listed on a supplemental sheet.  |
| Copies of assignments or                             | other documents in the chain of title are attached.  |
|  | e original assignment document or a true copy of the original document) must be n in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records [3] |
| The undersigned (whose title                         | is supplied below) is authorized to act on behalf of the assignee.   |
| 4 DEC 2001   | Kathleen Nora McKereghan   |
| Date   | Typed or printed name  |
|  | Calle Wmith  |
|  | Signature  |
|  | Senior Vice President, General Counsel and Secretary   |
|  | Title  |

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### ASSIGNMENT OF UTILITY PATENT APPLICATION

1 9 2001 U

WHEREAS, we,

| 9-2931 u            |   | <del> </del> |
|---------------------|---|--------------|
| Name                | Post Office Address   |              |
| Robert A. Henderson | 8904 92 <sup>nd</sup> Street Southwest, Edmonds, Washington 98026         | ,            |
| Tongtong Wang       | 8049 Northeast 28 <sup>th</sup> Street, Medina, Washington 98039          | ,            |
| Yoshihiro Watanabe  | 2266 78 <sup>th</sup> Avenue Southeast, Mercer Island, Washington 98040   | ;            |
| Jeffrey C. Johnson  | 25828 15 <sup>th</sup> Place South, Des Moines, Washington 98198          | ;            |
| Marc W. Retter      | 33402 Northeast 43 <sup>rd</sup> Place, Carnation, Washington 98014       | ,            |
| Margarita Durham    | 3444 36th Avenue West, Seattle, Washington 98199                          | ,            |
| Darrick Carter      | 321 Summit Avenue East, Seattle, Washington 98102                         | ;            |
| Gary R. Fanger      | 15906 – 29 <sup>th</sup> Drive Southeast, Mill Creek, Washington 98012    | ;            |
| Thomas S. Vedvick   | 124 South 300 <sup>th</sup> Place, Federal Way, Washington 98003          | ;            |
| Chaitanya S. Bangur | 2102 North 105 <sup>th</sup> Street, Apt. J101, Seattle, Washington 98133 | ;            |
| Andria McNabb       | 3602 Northeast 11 <sup>th</sup> Court, Renton, Washington 98056           | ,            |

(hereinafter referred to as ASSIGNORS), having post office addresses as listed above next to our names, are the joint inventors of an invention entitled

# COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF LUNG CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 09/902,941, as filed in the United States Patent and Trademark Office on July 10, 2001 ("this application") for which a patent is sought. This application derives benefit from the following application(s):

| U.S. Parent Application or PCT Parent Number | Parent Filing Date<br>(MM/DD/YYYY) | Parent Patent<br>Number | Attorney Docket<br>Number |
|--|------------------------------------|-------------------------|---------------------------|
| 09/849,626                                   | 05/03/2001                         |                         | 210121.478C16             |
| 09/736,457                                   | 12/13/2000                         |                         | 210121.478C15             |
| 09/702,705                                   | 10/30/2000                         |                         | 210121.478C14             |

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent<br>Number | Attorney Docket<br>Number |
|--|---------------------------------|-------------------------|---------------------------|
| 09/677,419                                   | 10/06/2000                      |                         | 210121.478C13             |
| 09/671,325                                   | 09/26/2000                      |                         | 210121.478C12             |
| 09/658,824                                   | 09/08/2000                      |                         | 210121.478C11             |
| 09/651,563                                   | 08/29/2000                      |                         | 210121.478C10             |
| 09/614,124                                   | 07/11/2000                      |                         | 210121.478C9              |
| 09/589,184                                   | 06/05/2000                      |                         | 210121.478C8              |
| 09/560,406                                   | 04/27/2000                      |                         | 210121.478C7              |
| 09/546,259                                   | 04/10/2000                      |                         | 210121.478C6              |
| 09/533,077                                   | 03/22/2000                      |                         | 210121.478C5              |
| 09/519,642                                   | 03/06/2000                      |                         | 210121.478C4              |
| 09/476,300                                   | 12/30/1999                      |                         | 210121.478C3              |
| 09/466,867                                   | 12/17/1999                      |                         | 210121.478C2              |
| 09/419,356                                   | 10/15/1999                      |                         | 210121.478C1              |
| 09/346,492                                   | 06/30/1999                      |                         | 210121.478                |

WHEREAS, Corixa Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Delaware having a place of business at 1124 Columbia Street, Suite 200, Seattle, Washington 98104, is desirous of acquiring the entire right, title and interest in and to said invention, this application, and in and to any Letters Patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, this application and any and all Letters Patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from this application and said parent

application(s) to which said foreign applications are entitled by virtue of international convention, treaty or otherwise; said invention, this application and all Letters Patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made.

ASSIGNORS hereby authorize and request the Director of the Patent and Trademark Office to issue said United States Patent to ASSIGNEE, of the entire right, title and interest in and to the same, for its sole use and benefit, and for the use and behalf of its legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign Patent on said invention, for litigation regarding said Patent, or for the purpose of protecting title to said invention or Patent therefor.

| 11-21-2001          | Miltachen                        |
|---------------------|----------------------------------|
| Date                | Signature of Robert A. Henderson |
| State of WASHINGTON |                                  |
| County of KING      | SS.                              |

I certify that I know or have satisfactory evidence that Robert A. Henderson is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

| Datedhove                  | mber 21, 2001    |
|----------------------------|------------------|
| Signature of Notary Public | de Janan         |
| Printed Name               | DEINDRE I. BRYAN |
| My appointment expires     | 9/1/02           |

| . 11/21               | Jan Jan   |
|-----------------------|---|
| Date                  | Signature of Tongtong Wang  |
| State of hasn         | 1 N B 1 O N   |
| County of KINI        | ) ss.<br>6)   |
| I certif              | fy that I know or have satisfactory evidence that Tongtong Wang is      |
| person who appeared   | before me, and said person acknowledged that she signed this instrum    |
| and acknowledged it t | to be her free and voluntary act for the uses and purposes mentioned in |
| instrument.           |   |
|                       | Dated November 2/200/   |
|                       | Signature of $\sqrt{2}$   |
|                       | Notary Public Persone Duning  |
|                       | Printed NameULINUAL I. BRYAN  |
|                       | My appointment expires $\frac{9}{1/02}$                                 |
|                       | /// appointment expires///  |
| 11 / 20<br>Date       | Signature of Yoshihiro Watanabe   |
| State ofWASH          | INSTON)   |
| County ofKINS         | ) ss.   |
|                       | <del>/</del>  |
| I certify             | y that I know or have satisfactory evidence that Yoshihiro Watanabe is  |
|                       | before me, and said person acknowledged that he signed this instrum     |
| _                     | o be his free and voluntary act for the uses and purposes mentioned in  |
| instrument.           |   |
|                       | Dated November 20, 200)   |
|                       | Signature of Notary Public Dende Dende                                  |
|                       | Printed Name  |
|                       |   |
|                       | My appointment expires $9/1/02$   |

| EXPRESS MAIL NO. EL897872827US                        |  |
|---|--|
| Date Date   | Signature of Jeffrey C. Johnson  |
| State of hashing )                                    | SS.  |
| County of KING  | 55.  |
| I certify that I know or har                          | ve satisfactory evidence that Jeffrey C. Johnson is the  |
| person who appeared before me, and said               | d person acknowledged that he signed this instrument   |
| and acknowledged it to be his free and vo instrument. | luntary act for the uses and purposes mentioned in the   |
| Dated   | November 30, 2001  |
| Signature of Notary Publi                             |  |
| Printed Nam   | e ULINUAL I. DAYAN   |
| My appointn   | nent expires $9/1/02$  |
| 11/20/01  | Marx W. Retter   |
| Date  | Signature of Marc W. Retter  |
| State of WASHINGTON )                                 |  |
| County of KING  | SS.  |
| I contify that I know on he                           | ario antinfontarri arridonno that Mana W. Dattar in the  |
|   | ve satisfactory evidence that Marc W. Retter is the person acknowledged that he signed this instrument |
|   | untary act for the uses and purposes mentioned in the  |
| instrument.   | animaly not for the abob and purposes memorica in the  |
|   |  |
| Dated   | November 20, 2001  |
| Signature of Notary Public                            | Mendre Dygan   |
| Printed Name  | ULIMUAL I. DAVAN   |
| My appointm   | ent expires 9/1/02   |

| KPRESS MA |           | EL897872827US<br>12/3/01 |                  | Margareta Ducham.                                      |
|-----------|-----------|--------------------------|------------------|--|
| Ī         | Date      |                          |                  | Signature of Margarita Durham                          |
| S         | State of  | dutucun                  | <u>, n H</u>     |  |
| C         | County of | KINS                     | )                | SS.  |
|           |           | I certify that           | I know or have   | e satisfactory evidence that Margarita Durham is the   |
| p         | erson wh  | no appeared before       | e me, and said p | person acknowledged that she signed this instrument    |
| a         | nd ackno  | wledged it to be h       | er free and volu | intary act for the uses and purposes mentioned in the  |
| ir        | nstrumen  | t. ·                     |                  |  |
|           |           |                          | ,                |  |
|           |           |                          | Dated            | Mecember 3, 2001                                       |
|           |           |                          | Signature of     | $\Omega$   |
|           |           |                          | Notary Public    |  |
|           |           |                          | Printed Name     | UEHUHE I. BRYAN  |
|           |           |                          | My appointme     | ent expires $\frac{5}{\sqrt{2}}$                       |
|           |           | 11/1/2                   | wry appointme    | in expires   |
|           |           | 126/01                   |                  | Malle -  |
| D         | ate       |                          |                  | Signature of Darrick Carter                            |
| St        | tate of _ | WASHINGT                 | 0 N)             |  |
| _         |           | VINC                     | )                | SS.  |
| C         | ounty of  | KINS                     | )                |  |
|           |           |                          |                  |  |
|           | •         | -                        |                  | atisfactory evidence that Darrick Carter is the person |
|           |           |                          | 7                | acknowledged that he signed this instrument and        |
|           |           |                          | ree and volunta  | ary act for the uses and purposes mentioned in the     |
| in        | strument  | •                        |                  |  |
|           |           |                          |                  | 1  |
|           |           |                          | Dated            | Covember 66, 2001                                      |
|           |           |                          | Signature of     | no Bon.  |
|           |           |                          | Notary Public    | TOWN.  |
|           |           |                          | Printed Name     |  |
|           |           |                          | My appointme     | nt expires $9/1/02$                                    |
|           |           |                          | · <del>-</del>   |  |

| EXPRESS. | MAIL NO. EL897872827US                  |   |                           |
|----------|---|---|---------------------------|
|          | Date                                    | Signature of Gary R. Fan  | ger                       |
|          | State of WASHINGT                       | 0 H) ss.  |                           |
|          | County of KING                          | )   |                           |
|          | I certify that                          | I know or have satisfactory evidence th   | nat Gary R. Fanger is the |
|          | and acknowledged it to be h             | e me, and said person acknowledged that<br>is free and voluntary act for the uses and |                           |
|          | instrument.                             |   |                           |
|          |   | Dated November  | 2001                      |
|          |   | Signature of Notary Public Mericle  | 2 Buyan                   |
|          |   | Printed Name  | EI. BRYAN                 |
|          |   | My appointment expires  | 9/1/02                    |
|          | 11/21/01<br>Date                        | Signature of Thomas S. V  |                           |
|          | State of WASHING                        | ) ss.   |                           |
|          | County of KINS                          | )   |                           |
|          | I certify that                          | know or have satisfactory evidence that   | Thomas S. Vedvick is the  |
|          | person who appeared before              | me, and said person acknowledged that   | he signed this instrument |
|          | and acknowledged it to be h instrument. | is free and voluntary act for the uses and p  | ourposes mentioned in the |
|          |   |   |                           |
|          |   | Dated Oventier  | 21,2001                   |
|          |   | Signature of Notary Public Mendel   | 1 Brigari                 |
|          |   | Printed Name  | I. DHYAN                  |
|          |   | My appointment expires  | 1,/02                     |

| •           | 1/21/01         | Ma Janyggy .  |
|-------------|-----------------|---|
| Date        |                 | Signature of Chaitanya S. Bangur  |
| State of    | WASHI NET       |   |
| County of   | KING            | ) ss.<br>)  |
| •           | appeared before | know or have satisfactory evidence that Chaitanya S. Bangur is the me, and said person acknowledged that he signed this instruments free and voluntary act for the uses and purposes mentioned in the |
|             |                 | Dated November 2/2001   |
|             |                 | Signature of Notary Public Mendie J Bryan   |
|             |                 | Printed Name DRYAN  |
|             |                 | My appointment expires $9/\sqrt{02}$  |
| Date MI     | 30/01           | Andria McNabb Signature of Andria McNabb  |
| State of    | WASHINET        | ) ss.   |
| County of _ | KING            | ) 33.   |
|             | appeared before | know or have satisfactory evidence that Andria McNabb is the me, and said person acknowledged that she signed this instrument free and voluntary act for the uses and purposes mentioned in the       |
|             |                 | Dated Morlember 30 2001   |
|             |                 | Dated Wolfman 30, 2001 Signature of Notary Public Mendel British  |
|             |                 | Printed Name DEPAN  |
|             |                 | My appointment expires $9/1/02$   |

(210121.478C17) #196447

EXPRESS MAIL NO. EL897872827US